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EXAMINER

MCDONALD, RODNEY GLENN

ART UNIT	PAPER NUMBER
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1753

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10

Please find below and/or attached an Office communication concerning this application or proceeding.

MF-10

# Office Action Summary

Application No.

09/781,987

Applicant(s)

Cha et al.

Examiner

Rodney McDonald

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

1) ☒ Responsive to communication(s) filed on Apr 29, 2002

2a) ☒ This action is FINAL.

2b) ☐ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

## Disposition of Claims

4) ☒ Claim(s) 18-21 is/are pending in the application.

4a) Of the above, claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.

6) ☒ Claim(s) 18-21 is/are rejected.

7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.

8) ☐ Claims \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All b) ☐ Some\* c) ☐ None of:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\*See the attached detailed Office action for a list of the certified copies not received.

14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

a) ☐ The translation of the foreign language provisional application has been received.

15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

5) ☐ Notice of Informal Patent Application (PTO-152)

3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). \_\_\_\_\_

6) ☐ Other:

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## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 18-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Edwards et al. (U.S. Pat. 5,259,881).

Edwards et al. teach an apparatus for depositing a layer on a substrate as seen in Fig. 1. Edwards et al. teach in Fig. 1 a cluster tool 10 which includes a front transport module 12 and a back transport module 14. The transport modules 12, 14 are provided with vacuum pumps (not shown) to **maintain their internal chambers at a vacuum pressure level suitable for the processing of semiconductor wafers.** (Column 5 lines 41-52)

The transport modules 12, 14 are interconnected by an interconnecting conduit and aligner 16 that joins the interiors of the transport modules 12, 14 to form common transport chamber 18 **at a consistent vacuum level and of a common atmosphere.** Within the transport modules 12, 14 is a wafer transport mechanism or robot arm 20 that rotates about a central axis of the respective module 12, 14 and extends through the ports to load and unload single wafers from the adjoining modules, including the processing modules, handling modules and the other transport module. (Column 6 lines 1-11)

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The back transport module 14 has six module connection faces or sides for connection to six adjacent modules. On one of these sides is, in the illustrated embodiment, connected a soft etch module 22 for the cleaning or mild etching preconditioning of the surfaces of wafers. A second of these sides is connected to **a first sputter coating module 24, which will typically perform a sputter coating process to deposit a uniform coating on the surface of the wafer,** usually following the soft etch process in the module 22. Another or third side is connected to another processing module, a rapid thermal processing (RTP) module 26, for treating the wafer quickly with high temperatures of, for example 1000.degree. C., to anneal or smooth **a previously deposited coating, such as a metal coating deposited by a sputter coating process in the sputtering module 24.** A forth side is connected to another processing module, for example a sputtering module 28, that may be a sputter etching module or another sputter coating module. **A fifth face is connected to another processing module 30 that may be, for example, a chemical vapor deposition (CVD) module.** The types of modules and the processes performed therein may be any process suitable to be performed on wafers in conjunction with the other processes being performed by the cluster tool. The sixth face of the transport module is connected to the aligner 16. (Column 6 lines 12-39)

The load-locks 32, 24 each have an access door through which a standard cassette of, for example 25, wafers are held in a rack, usually made of a plastic material such as polypropylene. The racks are loaded and unloaded either manually or by robot through a load-lock access door 41 into each of the load-locks 32, 34. **The access doors 41, when closed, seal internal**

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**load-lock chambers within the load-locks so that they may be pumped to the vacuum environment of the transport chamber 18 to permit entry of the wafers, transferred individually by the transport arm 20, into the transport chamber 18 and to the other modules of the cluster tool 10.** When the transport arm 20 returns wafers to the load-locks 32, 34, the load-lock is vented to the external environment. Except when the load-locks are at the vacuum pressure level of the transport chamber 18, the gate valve between the transport chamber 18 and respective load-lock 32, 34 is closed. (Column 6 lines 51-68)

**Connected to the other two faces of the entry transport module 12 are two preferably identical batch preheating, degassing or desorption modules 42, 44.** Each of these modules is equipped to receive, hold and preprocess a plurality of wafers simultaneously, preferably any number up to the quantity held in a full wafer cassette handled by the load-locks 32, 34. (Column 7 lines 1-7)

**The batch preheating modules 42, 44 according to certain embodiments of the present invention, will be described in relation to the module 42. Referring to FIG. 2, the preheating module 42 includes a pressure tight housing 50 enclosing a preheating chamber 52. The housing has a hole 53 therein to which a high vacuum pump 54 (removed in this figure; see FIG. 3) is connected to maintain the chamber 52 at a high vacuum, typically equal to that of the transport chamber 18.** The module 42 is also conventionally provided with a second pump (not shown) for lowering the pressure from atmospheric pressure to within the operating range of the pump 54, and with a vent port (not shown) for returning the

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pressure within the chamber 52 to that of the atmosphere. The housing 50 also has therein, on the front thereof, a rectangular port 56 to which the module is connected to a gate valve 58 (FIG. 3) of the front transport module 12. (Column 7 lines 12-25)

3. Claims 18-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Turner et al. (U.S. Pat. 5,512,320).

A method for depositing sequential thin films on glass substrates by single substrate deposition comprising loading a batch of substrates into a load lock chamber and evacuating the chamber, transferring the substrates to a batch heating chamber for heating the substrates to elevated temperatures; transferring the glass substrates singly to one or more single substrate processing chambers, and sequentially transferring the substrates back to the load lock chamber where they are batch cooled. (See Abstract)

Liquid crystal cells for active matrix TV and computer monitors are made of two glass plates sandwiching a layer of liquid crystal material between them. The glass plates are made conductive with a thin conductive film on the inside faces of the plates so that a source of power may be connected to them for changing the orientation of the liquid crystal molecules. As the need for larger and more sophisticated cells that allow separate addressing of different areas of the **liquid crystal cell has progressed**, as for active matrix TV where up to 1,000,000 or more different areas or pixels need to be separately addressed, **the use of thin film transistors for this application has come into widespread use. Thin film transistors comprise a patterned metal gate** over which is deposited a gate dielectric layer and a conductive layer, such as amorphous

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silicon. **Subsequently applied layers**, as of doped amorphous silicon, etch stopper silicon nitride, silicon oxide, **metal contact layers** and the like, are also required **to be deposited** over the amorphous silicon thin film. **Many of these films are deposited by CVD** in order to obtain high quality films. (Column 1 lines 15-34)

A vacuum system 10 for processing large glass substrates in accordance with the invention is shown in FIG. 1. The vacuum system 10, referring now to FIG. 1, comprises a central transfer chamber 12 to which are connected **two load lock/cooling chambers 14A and 14B**, each for transferring the glass substrates to be processed into the system 10. The load lock/cooling chambers 14A and 14B have a closable opening comprising a load door 16A and 16B respectively on its outside wall for transfer of glass substrates to be processed into the vacuum system 10 from the atmosphere. (Column 3 lines 19-28)

The cassettes 17 in the load lock/cooling chambers 14 are mounted on an elevator assembly (not shown) to raise and lower the cassettes 17 incrementally the height of one shelf. To load chamber 14A, the load door 16A is opened and one glass substrate is placed on a shelf in the cassette 17. The elevator assembly raises the cassette 17 by the height of one shelf so that an empty shelf is opposite the load door 16A. Another substrate is placed on that shelf and so forth until all of the shelves of the cassette 17 are filled. **At that point the load door 16A is closed and the chamber 14A is evacuated to the desired pressure in the vacuum system 10.**

(Column 4 lines 1-11)

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A slit valve 20A on the inside wall of the load lock/cooling chamber 14A adjacent to the transfer chamber 12 is then opened. **The glass substrates are transferred by means of a robot 22 in the transfer chamber 12 to a heating chamber 28.** (Column 4 lines 12-16)

After the last glass substrate is loaded into the heat cassette 29, the first glass substrate has reached processing temperature. **After a heated glass substrate is transferred by means of the robot 22 to one of the single substrate processing chambers 40, 42, 44 and 46, it is always replaced with a cold one to be heated. The processing chambers 40, 42, 44 and 46 are adapted to deposit one or more thin layers onto the glass substrates.** Each of the film chambers 40, 42, 44 and 46 are also fitted on their inner walls 40a, 42a, 44a and 46a respectively with a slit valve 41, 43, 45 and 47 respectively for isolation of the process gases. More than one process chamber can be operational at the same time. (Column 4 lines 46-53)

Although the above system is described using a plurality of film deposition chambers, **other single substrate processing chambers can be included** or substituted, including etch chambers, **physical vapor deposition chambers**, preclean chambers and the like. (Column 5 lines 4-8)

The arrows 48, 49 and 50 respectively show the direction of transfer for one possible sequence; arrow 48 shows the direction of **transfer from the load lock/cooling chamber 14B to the heating chamber 28; arrow 49 shows the direction of transfer of a substrate from the heating chamber 28 to a CVD chamber 40;** and the arrow 50 shows the direction of transfer of a substrate from the CVD chamber 40 back to the load lock/cooling chamber 14B until the load



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lock is fully exchanged; then when the chamber 14B is venting to atmosphere, load lock chamber 14A is available to the vacuum robot so that continuous processing is provided.

(Column 5 lines 21-31)

**For the manufacture of thin film transistors** onto large glass substrates, the average time for loading a glass substrate into and unloading it out of a load lock/cooling chamber is about 15 seconds for each operation; (Column 6 lines 18-21)

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

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5. Claims 18-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Turner et al. (U.S. Pat. 5,512,320).

Turner et al. is discussed above and all is as applies above. (See Turner et al. discussed above)

The differences between Turner et al. and the present claims is that CVD of silicon is not discussed and metal deposition by sputtering is not discussed.

Turner et al. at Column 1 lines 15-34 teach forming layers of doped amorphous silicon and metal contact layers. These films can be deposited by CVD. Turner et al. at Column 5 lines 4-8 teach that other film deposition chambers can be utilized such as physical vapor deposition chambers (i.e. sputtering) to deposit films.

The motivation for utilizing CVD and physical vapor deposition chambers for deposition of metals and silicon is that it allows for formation of thin film transistors on large glass substrates. (See Turner et al. Column 6 lines 18-21)

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have deposited silicon or metals by utilizing CVD or sputtering chambers as taught by Turner et al. because it allows for formation of thin film transistors on large glass substrates.

6. Claims 18-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Edwards et al. (U.S. Pat. 5,259,881) in view of Turner et al. (U.S. Pat. 5,512,320).

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Edwards et al. is discussed above and all is as applies above. (See Edwards et al. discussed above)

The difference between Edwards et al. and the present claims is that depsoition of silicon by CVD is not discussed.

Turner et al. is discussed above and all is as applies above. Turner et al. demonstrate films deposited by CVD such as amorphous silicon films. (See Turner et al. discussed above)

The motivation for depositing silicon films by CVD is that it allows for deposition of thin film transistors on large glass substrates. (See Turner et al. discussed above)

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have modified Edwards et al. by utilizing CVD to deposit silicon films as taught by Turner et al. because it allows for deposition of thin film transistors on large glass substrates.

### ***Response to Arguments***

7. Applicant's arguments filed 4-29-02 have been fully considered but they are not persuasive.

In response to the argument that nowhere in the references is cited a chemical vapor deposition chamber that deposits a thin layer by a chemical vapor deposition method and a process chamber that deposits a metal layer on the substrate by a sputtering method, it is argued that Turner et al. at Column 5 lines 21-31 teach a CVD chamber 40 for carrying out a film deposition process. Turner et al. at Column 4 lines 46-53 teach chambers 40, 42, 44 and 46 for

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film deposition. Chamber 40 is a CVD chamber. Turner et al. teach that their apparatus can include physical vapor deposition chambers (i.e. sputtering chambers) at Column 5 lines 4-8. Turner at Column 1 lines 15-34 teach that the films that can be deposited include silicon and metal films. Edwards at Column 6 lines 12-39 a sputtering module for performing metal sputtering and a module 30 for chemical vapor deposition. Therefore these references do suggest the features of the claims. (See Turner et al. and Edwards et al. discussed above)

### ***Conclusion***

8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).


A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

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9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Rodney McDonald whose telephone number is 703-308-3807. The examiner can normally be reached on M-Th from 8 to 5:30. The examiner can also be reached on alternate Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nam X. Nguyen, can be reached on (703) 308-3322. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9310.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0661.

  
**RODNEY G. McDONALD**  
**PRIMARY EXAMINER**

RM

July 2, 2002